



# DEPARTMENT OF CORPORATIONS

## JOB OPPORTUNITY

Arnold Schwarzenegger, Governor

Preston DuFauchoir, California Corporations Commissioner

Dale E. Bonner, Agency Secretary

**Release Date:** March 13, 2009

**CLASSIFICATION:** **CORPORATIONS EXAMINER**  
(Will consider Auditor I applications)  
1 Position – Sacramento

**FINAL FILING DATE:** **April 3, 2009 or UNTIL FILLED**

**SALARY:** \$4009-\$5876 per month  
(If Auditor I, the salary is \$3106 - \$3966 per month)

**POSITION LOCATION:** Securities Regulation Division, 1515 K Street, Sacramento

**DUTIES AND RESPONSIBILITIES:** Under the general direction of the Corporations Examiner IV (Supervisor), the Corporations Examiner/Auditor I performs technical and administrative duties to ensure compliance with provisions of the Corporate Securities Law of 1968 and the rules there under. Incumbent independently reviews applications filed by broker-dealers and investment advisers and determines whether issuance of the license is warranted; conducts field examinations of investment advisers and broker-dealers; conducts enforcement or "for cause" examinations which target specific problems; investigates complaints made by investors against licensees; gathers evidence for possible enforcement actions, and may testify at hearings.

### **DESIRABLE QUALIFICATIONS**

- Knowledge of generally accepted accounting principles and generally accepted auditing standards.
- Knowledge of the rules and regulations administered by the Securities Regulation Division.
- Knowledge of auditing procedures, workpaper preparation and report writing.
- Knowledge of personal computers, familiarity with Microsoft Word and Excel and other computer programs.
- Good interpersonal skills and ability to work independently as well as within a team.
- Dependability and the ability to adjust to shifting priorities and meet deadlines.
- Well-developed organizational and research skills including the ability to collect data in the field and via the Internet.
- Ability to review applications and analyze reports, understand and apply rules and regulations, and present ideas and information effectively, both orally and in writing.
- Ability to listen effectively, accurately assess issues and make recommendations about the best possible solution(s).
- Willingness to travel, work overtime, and to accept additional responsibilities.

If applying as an Auditor I, please include a copy of your college transcripts demonstrating that you meet the minimum qualifications for an Auditor I as found in the class specifications.

**WHO MAY APPLY** – State employees currently at the Corporation Examiner or Auditor I level, those within transfer range or have list eligibility who are reachable (in the top three ranks), and employees with surplus or SROA status at the Corporation Examiner/Auditor I level are encouraged to apply. For further technical information regarding the position, please contact Sandra Ramayla at (415) 972-8580.

**WHERE TO APPLY** - Please be sure to include RPA # 08-SRDcombo under the job title of the state application (STD 678). Applications without this RPA # may not be considered. Please mail your application and resume to:

### **Department of Corporations**

Attention: Human Resources

1515 K Street, Suite 200

Sacramento, CA 95814

(916) 445-6351

Or

E-mail your application and resume to [careers@corp.ca.gov](mailto:careers@corp.ca.gov)

**RPA #08-SRDcombo**

AN EQUAL OPPORTUNITY EMPLOYER TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.  
IT IS AN OBJECTIVE OF THE STATE OF CALIFORNIA TO ACHIEVE A DRUG-FREE STATE WORKPLACE. ANY APPLICANT FOR STATE EMPLOYMENT WILL BE EXPECTED TO BEHAVE IN ACCORDANCE WITH THIS OBJECTIVE BECAUSE THE USE OF ILLEGAL DRUGS IS INCONSISTENT WITH THE LAW OF THE STATE, THE RULES GOVERNING CIVIL SERVICE, AND THE SPECIAL TRUST PLACED IN PUBLIC SERVANTS.